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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/865,243	05/25/2001	Steve J. Mastrianni	YOR920010278US1	3959

35526 7590 07/16/2004

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EXAMINER

CHANNAVAJALA, SRIRAMA T

ART UNIT PAPER NUMBER

2177

DATE MAILED: 07/16/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary	Application No.	Applicant(s)	
	09/865,243	MASTRIANNI ET AL.	
	Examiner	Art Unit	
	Srirama Channavajjala	2177	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 10 May 2004.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-53 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-53 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
 Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
 Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. _____.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|---|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413) |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | Paper No(s)/Mail Date. _____ |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

1. Examiner acknowledge applicant's amendment filed on 5/10/2004
2. Claims 1, 9-10, 17, 22, 30-31, 38, 46-47, 49-50, 53 have been amended 5/10/2004.
3. Claims 1-53 are pending in this application.

Drawings

4. The drawings are approved by the Draftsperson under 37 CFR 1.84 or 1.152

Specification

5. The specification of the disclosure is objected to because at paper no. # 1, page 1, applicant cited two related patent applications without serial no. Applicant is hereby required to provide applications serial no.# and updated status in response to this office action.

Claim Rejections - 35 USC § 102

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

6. Claims 1-53 are rejected under 35 U.S.C. 102(b) as being anticipated by Atsatt et al., [hereafter Atsatt], US Patent No. 5758153.

7. As to Claims 1,17,22,38, Atsatt teaches a system which including 'data processing system for tracking relationships between programs and data' [col 12, line 3-12], Atsatt specifically teaches establishing relation between operating system(s) and file applications as detailed in col 12, line 3-12;

'receiving a file access request from a program, wherein the file access request is for a file and is received at an operating system level' [col 10, line 48-63, col 11, line 20-22, line 28-32, line 39-41, col 15, line 60-67, fig 9], Atsatt specifically teaches file access control, file access properties that including direct accessing, notification, authentication and like as detailed in col 10, line 48-63, further it is noted that Astatt specifically stabling relation between file access or accessing file application and operating systems for manipulation of file data at application level and compatible as detailed in col 11, line 28-32;

'identifying an association between the file and the program requesting the file access in response to receiving the file access request' [col 11, line 17-27col

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14, line 36-44, col 24, line 21-25, col 26, line 21-28, fig 8-9], Atsatt suggests identifying specific file and association with access control list and notification that related to file access program;

‘storing the association between the file and the program, wherein the association is used for subsequent accesses to the file such that a stored association is stored for each file for which file access is requested by the program’ [col 14, line 1-3, line 9-15, col 25, line 66-67, col 26, line 1-9],

8. As to Claim 2, 23,39, most of the limitations of this claim have been noted in the rejection of Claim 1 above. In addition, with respect to the claimed feature Atsatt disclosed ‘association is stored as meta data’ [col 11, line 60-65], Atsatt specifically suggests creating various objects for example creating multiple inheritance for the collection of class objects related to file system entities that corresponds to association is stored as meta data.

9. As to Claim 3, 24,40, most of the limitations of this claim have been noted in the rejection of Claim 1 above. In addition, with respect to the claimed feature Atsatt disclosed ‘file name for the file and a program name for the program’ [col 7, line 42-54, col 11, line 10-14], Atsatt specifically teaches various operating systems and their association with respective file(s) for example Macintosh operating system or MacApp is associated with their respective file system as detailed in the background of the invention at col 7, line 42-45, further Atsatt also

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disclosed various commands or functions related to not only identify specific file, but also manipulation of file data within the file structure as detailed in col 5-6.

10. As to Claim 4,25,41, most of the limitations of this claim have been noted in the rejection of Claim 3 above. In addition, with respect to the claimed feature Atsatt disclosed 'at least one of a location of the file, a time of file access, a data of file access, an extension for the file and an identification of a user of the program' [col 4, line 60-67,col 5, line 4-12], Atsatt specifically teaches common properties for a file that including file name, file access, data of the file, file creation time, modification time and like are integral part of common properties of a file.

11. As to Claim 5,26,42, most of the limitations of this claim have been noted in the rejection of Claim 4 above. In addition, with respect to the claimed feature Atsatt disclosed "location of the file is in a remote data processing system' [see col 10, line 4-8, line 49-51], Atsatt specifically teaches remote location of files are connected over the network that corresponds to files are located in a remote server.

12. As to Claim 6,27,43, most of the limitations of this claim have been noted in the rejection of Claim 1 above. In addition, with respect to the claimed feature Atsatt disclosed "file request is one of a request to pen the file, close the file, copy the file, or delete the file' [see col 14, line 36-41, col 26, line 45-50], Atsatt

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specifically teaches open, close, copy, delete operations related to file as detailed in col 14, line 36-41, col 26, line 45-50.

13. As to Claim 7-8,28-29,44-45, most of the limitations of this claim have been noted in the rejection of Claim 1 above. In addition, with respect to the claimed feature Atsatt disclosed 'a request to open the file originates from the first program and a request to close the file originates from a second program' [col 3, line 55-59, col 5-6].

14. As to Claim 9,30,46, most of the limitations of this claim have been noted in the rejection of Claim 1 above. In addition, with respect to the claimed feature Atsatt disclosed "storing step are performed within an operating system kernel" [col 7, line 42-44], Atsatt disclosed various application programs for example Apple, Bedrock, OWL, NxXT and like [see col 3, line 51-54], further Atsatt also suggests Macintosh operating system in Apple Computers [see col 7, line 42-44], as best understood by the examiner computer system includes operating system that is located in the kernel, further kernel automatically loads into the memory, and kernel remains resident in the memory and is common knowledge in the art.

15. As to Claim 10-11,31-32,47-48, most of the limitations of this claim have been noted in the rejection of Claim 1 above. In addition, with respect to the claimed feature Atsatt disclosed 'storing step are performed within a device driver' [see fig 1, col 4, line 12-29 as best understood by the examiner device

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driver is simply called a driver which is computer program that is intended to allow another program typically, an operating system to interact with a hardware device such as detailed in fig 1, further Drivers are used for interfacing with different file system, hard disk drives, local buses, video, network cards [see fig 1], in case of operating systems like UNIX [see col 15, line 27], most of the devices in a Unix operating system are accessed through device nodes, also called special files they are typically located under the directory /dev in the file system hierarchy. Each device node must be created statically and independently of the existence of the associated device driver, usually by running "MAKEDEV" is common knowledge in the art.

16. As to Claim 12, 33,49, most of the limitations of this claim have been noted in the rejection of Claim 1 above. In addition, with respect to the claimed feature Atsatt disclosed 'storing the association between the file and the program in a database' [col 4, line 30-35].

17. As to Claim 13, 34,50, most of the limitations of this claim have been noted in the rejection of Claim 1 above. In addition, with respect to the claimed feature Atsatt disclosed 'receiving a request from a requestor to access the associations' [col 11, line 32-38]; 'querying the database for the associations' [col 8, line 44-50], Atsatt specifically teaches user searches to retrieve specific

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file information; 'receiving a result from the database' [col 4, line 49-51];

'returning the result returned from the database to the requestor' [col 16, line 20].

18. As to Claim 14,35,51, most of the limitations of this claim have been noted in the rejection of Claim 1 above. In addition, with respect to the claimed feature Atsatt disclosed 'associations are for a particular program' [col 10, line 4-5], particular program corresponds to Atsatt 's AFP program as detailed in col 10, line 4-5.

19. As to Claim 15, 36,52, most of the limitations of this claim have been noted in the rejection of Claim 1 above. In addition, with respect to the claimed feature Atsatt disclosed "associations are for a particular file"[col 10, line 4-8].

20. As to Claim 16, 37,53, most of the limitations of this claim have been noted in the rejection of Claim 1 above. In addition, with respect to the claimed feature Atsatt disclosed 'storing the association between the file and the program in at least one of a registry, file, and a file system' [col 4, line 13-29], as best understood by the examiner "Registry" is an integral part of operating systems such as Unix, NFS,MS-DOS [see col 4, line 13-29], the registry is also the centralized configuration database for operating system as well as for applications, further the registry stores information about tuning parameters, kernel executing configuration, device configuration and user preferences, therefore, registry is integral part of operating systems and active component.

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21. As to Claim 18-19, most of the limitations of this claim have been noted in the rejection of Claim 17 above. In addition, with respect to the claimed feature Atsatt disclosed "bus system is a single bus" [col 14, line 1-3, fig 1].

22. As to Claim 20, most of the limitations of this claim have been noted in the rejection of Claim 17 above. In addition, with respect to the claimed feature Atsatt disclosed 'including processing unit includes a plurality of processors' [col 4, line 13-17], plurality of processors corresponds to Atsatt's multiple processor distributed file system.

23. As to Claim 20, most of the limitations of this claim have been noted in the rejection of Claim 17 above. In addition, with respect to the claimed feature Atsatt disclosed 'communications unit is one of a modem and Ethernet adapter' [fig 1, col 10, line 4-6, col 14, line 15-32], Atsatt specifically suggests for example workstations or computers are connected to network, also Atsatt suggests network controller and small computer system interface (SCSI) in peripheral component interface forms network environment.

Response to Arguments

24. Applicant's arguments at page 11-20, with respect to claims 1-53 have been considered but are moot in view of the new ground(s) of rejection.

25. Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire **THREE MONTHS** from the mailing date of this action. In the event a first reply is filed within **TWO MONTHS** of the mailing date of this final action and the advisory action is not mailed until after the end of the **THREE-MONTH** shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than **SIX MONTHS** from the date of this final action.

Conclusion

The prior art made of record

a. US Patent No. 5758153

The prior art made of record and not relied upon is considered pertinent to applicant's disclosure

b. US Patent No. 5897640

c. US Patent No. 5873085

d. US Patent No. 5819251

e. US Patent No. 5758352

e. US Patent No. 5617568

g. US Patent No. 6697846

h. Gene H.Kim et al. The design and implementation of Tripwire : A file system Integrity checker, proceedings of the 2nd ACM conference on compuer and communications security, August 29, 1994, pp 1-18

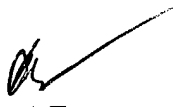
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Any inquiry concerning this communication or earlier communications from the examiner should be directed to Srirama Channavajjala whose telephone number is (703) 308-8538. The examiner can normally be reached on Monday-Friday from 8:00 AM to 5:30 PM Eastern Time. The TC2100's Customer Service number is (703) 306-5631.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, John E. Breene, can be reached on (703) 305-9790. The fax phone numbers for the organization where the application or proceeding is assigned are as follows:

703/746-7238	(After Final Communication)
703/872-9306	(Offical Communications)
703/746-7240	(For Status inquiries, draft communication)

Any inquiry of general nature or relating to the status of this application or proceeding should be directed to the Group receptionist whose telephone number is (703) 305-9600.

sc 
Patent Examiner.
July 15, 2004.